



IAP4 Rec'd PCT/PTO 29 NOV 2005

PATENT APPLICATION
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q89917

Sung-Wook CHO, et al.

Appln. No.: 10/553,170

Group Art Unit: Unknown

Confirmation No.: Unknown

Examiner: Unknown

Filed: October 17, 2005

For: PROCESS FOR PREPARING 4-CHLORO-3-HYDROXYBUTANOIC ACID ESTER

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

1. JP-A 5-310671 published November 22, 1993, to Daiso Co., Ltd., with English Abstract.
2. JP-A 63-316758 published December 26, 1988, to Osaka Soda Co., Ltd., with English Abstract.
3. JP-A 4-124157 published April 24, 1992, to Daiso Co., Ltd., with English Abstract.
4. JP-A 2004-182607 published July 2, 2004, to Mitsubishi Rayon Co., Ltd., with English Abstract.
5. JP-A 5-331128 published December 14, 1993, to Takasago International Corp., with English Abstract.

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6. JP-A 8-231567 published September 10, 1996, to Takeda Chem. Ind., Ltd., with English Abstract.
7. JP-A 8-256792 published October 8, 1996, to Japan Energy Corp., with English Abstract.
8. JP-A 11-171850 published June 29, 1999, to Kanegafuchi Chem. Ind. Co., Ltd., with English Abstract.
9. JP-A 2001-122841 published May 8, 2001, to Mitsubishi Chemicals Corp., with English Abstract.
10. JP-A 2001-302607 published October 31, 2001, to Mitsubishi Chemicals Corp., with English Abstract.
11. JP-A 2001-335554 published December 4, 2001, to Mitsubishi Chemicals Corp., with English Abstract.
12. U.S. Patent No. 5,780,649 issued July 14, 1998, to Yuasa et al.
13. U.S. Patent No. 5,908,953 issued June 1, 1999, to Matsuda et al.
14. U.S. Patent No. 6,140,527 issued October 31, 2000, to Kunihiro et al.
15. EP 0 573 184 B1 published march 13, 1996, to Takasago International Corp.
16. G. Braun, "Oxidation of Unsaturated Compounds. II. Preparation and Configuration of the 3-Halogeno Derivatives of Crotonic Acid", *J. Am. Chem. Soc.*, Vol. 52, No. 8, 1930, pp. 3167-3176.

One copy of each of the listed documents is submitted herewith, except for the U.S. patents.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date; (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

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The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

Respectfully submitted,



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WASHINGTON OFFICE

23373

CUSTOMER NUMBER

Date: November 29, 2005

Substitute for Form 1449 A & B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	10/553,170
Confirmation Number	Unknown
Filing Date	October 17, 2005
First Named Inventor	Sung-Wook CHO
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	Q89917

Sheet

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of

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NOV 29 2005
PATENT & TRADEMARK OFFICE**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code ² (if known)		
		US 5,908,953	A	06-01-1999	Matsuda et al.
		US 6,140,527	A	10-31-2000	Kunihiro et al.
		US 5,780,649	A	07-14-1998	Yuasa et al.
		US			
		US			
		US			
		US			
		US			
		US			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)			
		JP	5-310671	A	11-22-1993	Daiso Co. Ltd.	Abstract
		JP	63-316758	A	12-26-1988	Osaka Soda Co., Ltd.	Abstract
		JP	4-124157	A	04-24-1992	Daiso Co., Ltd.	Abstract
		JP	2004-182607	A	07-02-2004	Mitsubishi Rayon Co., Ltd.	Abstract
		JP	5-331128	A	12-14-1993	Takasago Int'l. Corp.	Abstract
		JP	8-231567	A	09-10-1996	Takeda Chem. Ind., Ltd.	Abstract
		JP	8-256792	A	10-08-1996	Japan Energy Corp.	Abstract
		JP	11-171850	A	06-29-1999	Kanegafuchi Chem. Ind. Co., Ltd.	Abstract
		JP	2001-122841	A	05/08/2001	Mitsubishi Chemicals Corp.	Abstract
		JP	2001-302607	A	10-31-2001	Mitsubishi Chemicals Corp.	Abstract
		JP	2001-335554	A	12-04-2001	Mitsubishi Chemicals Corp.	Abstract
		EP	0 573 184	B1	03-13-1996	Takasako Int'l. Corp.	

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation ⁶
		G. Braun, "Oxidation of Unsaturated Compounds. II. Preparation and Configuration of the 3-Halogeno Derivatives of Crotonic Acid", <i>J. Am. Chem. Soc.</i> , Vol. 52, No. 8, 1930, pp. 3167-3176	

Examiner Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to indicate here if English language Translation is attached.